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ADMINISTRATOR

USAID/GENERAL NOTICE
AA/M
01/03/94

ACTION MEMORANDUM FOR THE ADMINISTRATOR

FROM: AA/M, Larry E. Byrne

SUBJECT: Mission Close Out Procedures

PROBLEM: To approve an Agency coordinator for closing 21 USAID field missions pursuant to your recommendation approved by Secretary of State Christopher.

BACKGROUND: Existing Agency policy on closing field missions is contained in HB 23 Chapter 13, effective April 4, 1989. It is generally agreed that it is not adequate. Thus, it has been revised, but has not been distributed for clearance. The revision is helpful in many respects, especially with regard to management related actions. Other parts of the revision will be contentious. In any case, it never envisioned dealing, more or less simultaneously, with the multiple close outs planned.

In preparing this memorandum, we have reviewed HB 23, the revision to HB 23, requested copies of plans and documentation related to recent close out experiences (e.g., Pakistan/ Afghanistan, Sudan, Tanzania and Cameroon), have contacted individuals involved in those experiences, held meetings with an ad hoc group of experts from offices most directly concerned with close out matters (FM, OP, AS, OMS, PPE, MCS, CDIE and PPC) and attended meetings preparatory to your announcement of the closings on November 19, 1993.

DISCUSSION: In considering how to proceed with multiple mission closings, we quickly came to several conclusions:

- ! First, there are already too many organizational units and/or people involved, or trying to get involved, each with a different agenda. Most are well intentioned, but the efforts are disparate and reflect no overall direction or oversight;
- ! second, it is important to establish a structure quickly, especially with respect to leadership and a central organization unit, to offset the

foregoing, avoid management confusion and not lose opportunities to make the best possible use of financial, physical and human resources; and

- ! third, the arrangements and procedures decided on need to be promulgated to Agency personnel as soon as possible.

Thus, the discussion which follows addresses organization structure, a sequence of actions necessary to implement close outs, guidelines, or checklists, for certain management activities and dissemination of decisions and recommends that an Agency coordinator be designated. The initial task of the coordinator will be to develop and approve a process and procedures for mission close outs.

Insofar as organization is concerned, Agency policy and experience is attuned to one or, perhaps, a couple of close outs occurring concurrently - but, not 21, even over a three year timeframe. The size and complexity of this task suggests special arrangements. In addition, the close out of a number of management operations requires some decisions and/or responsibilities to be referred to USAID/W offices, e.g., FM, OMS, OP, IRM and HRDM. While geographic bureaus will be responsible for mission close outs in their regions, oversight and supervision will be required to assure coordination, consistency and identification of trade offs. And, finally, actions required of PPC, the geographic and central bureaus and the Management Bureau are interrelated and overlap. Only if a designated coordinator is in overall charge, with a supporting staff, will it be possible to consider differences and make decisions without incurring unacceptable delays.

Policy/program close out and management operations close out are interrelated and cannot be easily separated. Decisions on policy/program issues, for example, can be expected to drive what and when one does with contract and procurement transactions, disposition of assets, administrative support, etc. A sequence of events, therefore, must take place to start a phase out process.

- ! A decision on the nature of the operation. For example, an absolute close out of program and presence, a phase down of program or presence or both, a close out of presence but maintenance of program, or part thereof, to be managed by USAID/W, regionally or otherwise, etc.
- ! Establishment of a timeframe and preparation of a policy/program plan, including an analysis of each program activity, schedule of actions and financial requirements. The plan is approved.
- ! Based on the approved policy/program plan, preparation of an operations plan (mainly management related), including, inter alia, personnel actions, financial management, supply and procurement, USAID titled personal property, employee personal property, real property, records, participant training activities and financial requirements. The plan is approved.

While the bulk of the work is in the implementation of the operations plan and in the domain of the M Bureau, the plan itself is dependent on policy decisions in the domain of others. Moreover, the geographic and central bureaus have an interest and role in all three phases.

Since only the field missions have the detailed knowledge to prepare policy/program and operation plans, they should be expected to do so with USAID/W being prepared to provide TDY assistance if required. Both the policy/program plan and operation plan should be approved by USAID/W.

Unless there happens to be someone on its staff, most missions have little or no experience with close out procedures and Agency guidance is outdated as well as of questionable adequacy. It is generally thought, moreover, that guidance should not be of a "show and tell" variety or so detailed as to eliminate flexibility. Every field mission situation is different and a uniform approach imposed by USAID/W does not seem realistic, useful or efficient. In connection with the revision to HB 23 Chapter 13, checklists have been prepared for most management activities. They are checklists in that they identify things which must be taken into account in closing down an operation. They have been vetted by appropriate personnel and can be forwarded to missions without delay.

Because of the importance of successful implementation of the close out activity to the future of the Agency and its significance to a broad range of people and programs, it is important that the decisions on arrangements for process and procedures be disseminated to Agency personnel as soon as they are made.

If you approve the recommendation to designate an Agency coordinator for mission close outs, the following additional recommendations will be presented to the Coordinator for approval:

- ! A Senior Foreign Service Officer and office (existing or ad hoc for this purpose) will be assigned responsibility/authority for day to day operations, including coordination of actions taken by USAID/W organizations, being a point of contact in Washington and repository of information, monitoring the overall effort and arranging for TDY experts to assist missions as required.
- ! Pursuant to USAID/W instructions, policy/ program plans and operation plans will be prepared by field missions and approved by USAID/W.
- ! Policy/program plans and operation plans will be approved/disapproved at meetings convened and chaired by the Coordinator. The meetings will include representatives from PPC, the appropriate geographic bureau, central bureaus and specialized offices of the M Bureau. We anticipate that most issues will be resolved at this level. However, if there are issues that need the Administrator's attention, the Coordinator will provide them to him.

- ! That PPC, in collaboration with the geographic and central bureaus, prepare a telegram(s) to each field mission to be closed down. The telegram(s) should explain the nature of the operation, provide a timeframe, describe the contents of a policy/program plan and instruct the missions to prepare a plan to be submitted to USAID/W within approximately one month of receipt of the telegram.
- ! Provide to field missions, as soon as possible, close out checklists covering personnel, financial management, supply and procurement, personal property, records and participant training.

RECOMMENDATION: That you approve the following recommendation:

The AA/M is designated as the Agency Coordinator for mission close outs.

Approved: \s\

Disapproved:

Date: 12-7-93

If you approve the field mission close out recommendation, an announcement and General Notice will be prepared to inform Agency personnel of your decision.

Clearances:

AA/M:LKByrne: Date:

ES:AWilliams: Date:

D/PPC:TBrown: Date:

DA/AID:CLancaster: Date:

December 7, 1993

MEMORANDUM

TO: AA/M, Larry E. Byrne
Coordinator For Mission Close Outs

FROM: M/MCS, John W. Koehring

SUBJECT: Mission Close Out Procedures

PROBLEM: To approve recommendations on initial steps required to commence implementation of the decision to close out 21 field missions.

BACKGROUND AND DISCUSSION: Following the Administrator's designation of you as the Agency's Coordinator for mission close outs, several initial decisions are required to commence development of the process and procedures which will be necessary to implement the close out operation.

These include organization and structure, the sequence of events driven by policy/program plans and operation plans and initial checklists for the close out of certain management activities. Since they are discussed in detail in the background and discussion sections of the ACTION MEMORANDUM FOR THE ADMINISTRATOR (attached hereto), they are not repeated here.

RECOMMENDATION: That you approve the following recommendations on field mission close out process and procedures:

1. A Senior Foreign Service Officer and office (existing or ad hoc for this purpose) will be assigned responsibility/ authority for day to day operations, including coordination of actions taken by USAID/W organizations, being a point of contact in Washington and repository of information, monitoring the overall effort and arranging for TDY experts to assist missions as required.

Approved:____/s/____

Disapproved:_____

Date:____12-7-93____

2. Pursuant to USAID/W instructions, policy/program plans and operation plans will be prepared by field missions and approved by USAID/W.

Approved:____/s/____

Disapproved:_____

Date: 12-7-93

3. Policy/program plans and operation plans will be approved/ disapproved at meetings convened and chaired by the Coordinator. The meetings will include representatives from PPC, the appropriate geographic bureau, central bureaus and specialized offices of the M Bureau. We anticipate that most issues will be resolved at this level. However, if there are issues that need the Administrator's attention, the Coordinator will provide them to him.

Approved: /s/

Disapproved:_____

Date: 12-7-93

4. That PPC, in collaboration with the geographic and central bureaus, prepare a telegram(s) to each field mission to be closed down. The telegram(s) should explain the nature of the operation, provide a timeframe, describe the contents of a policy/program plan and instruct the missions to prepare a plan to be submitted to USAID/W within approximately one month of receipt of the telegram.

Approved: /s/

Disapproved:_____

Date: 12-7-93

5. Provide to field missions, as soon as possible, close out checklists covering personnel, financial management, supply and procurement, personal property, records and participant training.

Approved: /s/

Disapproved:_____

Date: 12-7-93